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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Application Number	
Filing Date	
First Named Inventor	Mossberg
Art Unit	
Examiner Name	
Attorney Docket Number	LTSM01DV1

Sheet 1 of 7

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 4,140,362	02-20-1979	Tien	
		US- 4,387,955	06-14-1983	Ludman et al	
		US- 4,660,934	04-28-1987	Akiba et al	
		US- 4,740,951	04-26-1988	Lizet et al	
		US- 4,743,083	05-10-1988	Schimpe	
		US- 4,746,186	05-24-1988	Nicia	
		US- 4,773,063	09-20-1988	Hunsperger et al	
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		US- 4,834,474	05-30-1989	George et al	
		US- 4,923,271	05-08-1990	Henry et al	
		US- 4,938,553	07-03-1990	Maerz et al	
		US- 5,107,359	04-21-1992	Ohuchida	
		US- 5,195,161	03-16-1993	Adar et al	
		US- 5,357,591	10-18-1994	Jiang et al	
		US- 5,450,511	09-12-1995	Dragone	
		US- 5,768,450	06-16-1998	Bhagavatula	
		US- 5,812,318	09-22-1998	Babbitt et al	
		US- 5,830,622	11-03-1998	Canning et al	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

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		GB - 2 168 215 - A	06-11-1986	Sec State for Defence		
		EP - 0 310 438 - A1	04-05-1989	British Telecommunications		
		WO - 99/35523 - A1	07-15-1999	Templex Technology		
		WO - 99/56159 - A1	11-04-1999	Templex Technology		

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Sheet	3	of	7	Attorney Docket Number	LTSM01DV1

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Capron et al, J. Lightwave Tech., Vol 11 No 12 pp 2009-2014 (Dec 1993)	
		Deri et al, IEEE Photonics Tech. Lett., Vol 6 No 2 pp 242-244 (Feb 1994)	
		Grunnet-Jepsen et al, Electron. Lett., Vol 35 No 13 pp1096-1097 (June 1999)	
		Paddon et al, Opt. Lett., Vol 23 No 19 pp 1529-1531 (1998)	
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		McGreer, IEEE Photonics Tech. Lett., Vol 7 No 3 pp 324-326 (Mar 1995)	
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		Grunnett-Jepsen et al, Photonics Tech. Lett., Vol 11 No 10 (Oct 1999)	

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Sheet 4 of 7

Application Number

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First Named Inventor

Mossberg

Art Unit

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LTSM01DV1

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		Babbitt et al, Opt. Commun., Vol 148 pp 23-26 (1998)	
		Brigham et al, Analysis of scattering from large planar gratings of compliant cylindrical shells, J. Acoust. Soc. Am., Vol 61 No 1 pp 48-59 (Jan 1977)	
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		Koontz et al, Appl. Phys. Lett., Vol 71 No 10 pp 1400-1402 (Sep 1997)	
		Song et al, Appl. Opt., Vol 34 No 26 pp 5913-5919 (Sep 1995)	
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		Wang et al, Appl. Opt., Vol 32 No 14 pp 2606-2613 (May 1993)	

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		Magnusson et al, Appl. Phys. Lett., Vol 61 No 9 pp 1022-1024 (Aug 1992)	
		Ojha et al, Demonstration of low loss integrated InGaAsP/InP demultiplexer device with low polarisation sensitivity, Electron. Lett., Vol 29 No 9 (Apr 1993)	
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		Canning et al, Opt. Commun., Vol 171 pp 213-217 (1999)	
		Tien et al, Use of concentric-arc grating as a thin-film spectrograph for guided waves, Am. Inst. of Physics (1980) pp 524-525	
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		Sun et al, IEEE Photonics Tech. Lett., Vol 10 No 1 pp 90-92 (Jan 1998)	

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		McGreer, IEEE Photonics Tech. Lett., Vol 8 No 4 pp 551-553 (Apr 1996)	
		Avrutsky et al, IEEE Photonics Tech. Lett., Vol 10 No 6 pp 839-841 (Jun 1998)	
		Alavie et al, IEEE Photonics Tech. Lett., Vol 5 No 9 pp1112-1114 (Sep 1993)	
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		Eldada et al, IEEE Photonics Tech. Lett., Vol 12 No 7 pp 819-821 (Jul 2000)	
		Chen et al, J. Lightwave Tech., Vol 10 No 7 pp 888-897 (Jul 1992)	
		Minier et al, Diffraction characteristics of superimposed holographic gratings in planar optical waveguides, IEEE Photonics Tech. Lett., Vol 4 No 10 (Oct 1992)	

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		Backlund et al, IEEE Photonics Tech. Lett., Vol 12 No 3 pp 314-316 (Mar 2000)	
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		Mossberg, Opt. Lett., Vol 26 No 7 pp 414-416 (Apr 2001)	
		Tang et al, A novel wavelength-division-demultiplexer with optical in-plane to surface-normal conversion, IEEE Photonics Tech. Lett., Vol 7 No 8 (Aug 1995)	

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